

02/10/00
13670 U.S. PTO

Appendix A

11/1/00

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PTO/SB/16 (2-98)
Approved for use through 01/31/2001 OMB 0851-0037
Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE
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PROVISIONAL APPLICATION FOR PATENT COVER SHEET

This is a request for filing a PROVISIONAL APPLICATION FOR PATENT under 37 CFR 1.53(c).

INVENTOR(S)			
Given Name (first and Middle [if any])	Family Name or Surname	Residence (City and either State or Foreign Country)	
Gregory A. Robert A.	D'Amico Loest	Tennessee, USA Tennessee, USA	
<input type="checkbox"/> Additional inventors are being named on the separately numbered sheets attached hereto			
TITLE OF THE INVENTION (280 characters max)			
Mutual Fund			
CORRESPONDENCE ADDRESS			
Direct all correspondence to:			
<input checked="" type="checkbox"/> Customer Number	23370	Place Customer Number Bar Code Label Here	
OR	Type Customer Number here		
<input type="checkbox"/> Firm or Individual Name	John S. Pratt, Esq. Kilpatrick Stockton LLP		
Address	1100 Peachtree Street, Suite 2800		
City	Atlanta	State	Georgia Zip 30309
Country	U.S.A.	Telephone	(404) 815-6500 Fax (404) 815-6555
ENCLOSED APPLICATION PARTS (check all that apply)			
<input checked="" type="checkbox"/> Specification Number of Pages 13	<input checked="" type="checkbox"/> Small Entity Statement		
<input type="checkbox"/> Drawing(s) Number of Sheets	<input type="checkbox"/> Other (specify)		
METHOD OF PAYMENT OF FILING FEES FOR THIS PROVISIONAL APPLICATION FOR PATENT (check one)			
<input checked="" type="checkbox"/> A check or money order is enclosed to cover the filing fees.		FILING FEE AMOUNT (\$)	
<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge filing fees or credit any overpayment to Deposit Account Number: 11-0855		\$ 75.00	
The invention was made by an agency of the United States Government or under a contract with an agency of the United States Government			
<input checked="" type="checkbox"/> No.			
<input type="checkbox"/> Yes, the name of the U.S. Government agency and the Government contract number are: _____			

Respectfully submitted,

SIGNATURE

John S. Pratt

Date

2/10/00

REGISTRATION NO.
(if appropriate)

29,476

Typed or PRINTED NAME: John S. Pratt, Esq.
Telephone (404) 815-6500

DOCKET NUMBER:

14104/198998

PATENTS

IN THE U.S. PATENT AND TRADEMARK OFFICE

Applicants: Gregory A. D'Amico and Robert A. Loest

U.S. Provisional Application No.: not yet assigned

Filed: February 10, 2000

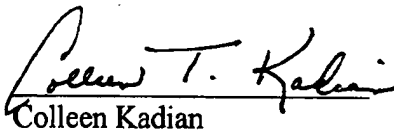
Attorney Docket No.: 14104/198998

For: Mutual Fund

Assistant Commissioner for Patents
Box Provisional Patent Application
Washington, D.C. 20231

CERTIFICATE OF MAILING (37 CFR 1.10)

I hereby certify that this PROVISIONAL APPLICATION FOR PATENT COVERSHEET, along with any paper referred to as being attached or enclosed, is being deposited with the United States Postal Service on the date shown below in an envelope as "Express Mail Post Office to Addressee" service under 37 CFR 1.10, Mailing Label Number EL230342874US addressed to Box Provisional Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.


Colleen Kadian

Date: February 10, 2000

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Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(b)) -- INDEPENDENT INVENTOR**

Docket Number: 14104/198998

Applicant, Patentee, or Identifier: Greg A. D'Amico and Robert A. Loest
Application or Patent No.: not yet assigned
Filed: February 10, 2000
Title: Mutual Fund

As a below named inventor, I hereby state that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

I have not assigned, granted, conveyed, or licensed, and am under no obligation under contract or law to assign, grant, convey, or license any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ No such person, concern or organization exists.
☐ Each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b))

Gregory A. D'Amico
NAME OF INVENTOR

Gregory A. D'Amico
SIGNATURE OF INVENTOR

2-10-00
Date

Robert A. Loest
NAME OF INVENTOR

Robert A. Loest
SIGNATURE OF INVENTOR

2-10-00
Date

Burden Hour Statement. This form is estimated to take .08 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231
47111801 017943.1

1977	1978	1979	1980	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	2036	2037	2038	2039	2040	2041	2042	2043	2044	2045	2046	2047	2048	2049	2050	2051	2052	2053	2054	2055	2056	2057	2058	2059	2060	2061	2062	2063	2064	2065	2066	2067	2068	2069	2070	2071	2072	2073	2074	2075	2076	2077	2078	2079	2080	2081	2082	2083	2084	2085	2086	2087	2088	2089	2090	2091	2092	2093	2094	2095	2096	2097	2098	2099	2100	2101	2102	2103	2104	2105	2106	2107	2108	2109	2110	2111	2112	2113	2114	2115	2116	2117	2118	2119	2120	2121	2122	2123	2124	2125	2126	2127	2128	2129	2130	2131	2132	2133	2134	2135	2136	2137	2138	2139	2140	2141	2142	2143	2144	2145	2146	2147	2148	2149	2150	2151	2152	2153	2154	2155	2156	2157	2158	2159	2160	2161	2162	2163	2164	2165	2166	2167	2168	2169	2170	2171	2172	2173	2174	2175	2176	2177	2178	2179	2180	2181	2182	2183	2184	2185	2186	2187	2188	2189	2190	2191	2192	2193	2194	2195	2196	2197	2198	2199	2200	2201	2202	2203	2204	2205	2206	2207	2208	2209	2210	2211	2212	2213	2214	2215	2216	2217	2218	2219	2220	2221	2222	2223	2224	2225	2226	2227	2228	2229	2230	2231	2232	2233	2234	2235	2236	2237	2238	2239	2240	2241	2242	2243	2244	2245	2246	2247	2248	2249	2250	2251	2252	2253	2254	2255	2256	2257	2258	2259	2260	2261	2262	2263	2264	2265	2266	2267	2268	2269	2270	2271	2272	2273	2274	2275	2276	2277	2278	2279	2280	2281	2282	2283	2284	2285	2286	2287	2288	2289	2290	2291	2292	2293	2294	2295	2296	2297	2298	2299	2300	2301	2302	2303	2304	2305	2306	2307	2308	2309	2310	2311	2312	2313	2314	2315	2316	2317	2318	2319	2320	2321	2322	2323	2324	2325	2326	2327	2328	2329	2330	2331	2332	2333	2334	2335	2336	2337	2338	2339	2340	2341	2342	2343	2344	2345	2346	2347	2348	2349	2350	2351	2352	2353	2354	2355	2356	2357	2358	2359	2360	2361	2362	2363	2364	2365	2366	2367	2368	2369	2370	2371	2372	2373	2374	2375	2376	2377	2378	2379	2380	2381	2382	2383	2384	2385</
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There will however, be a prominent link to the secure web server, something like “Fund Management.” It will bring up a log-in screen:

Account*

Password

[Log-in](#)

Clicking Log-in will take you to the main screen:



Emerging
Intelligence

FUND

Shareholder Advisor Services

Fund Portfolio

Investment Rules

FAQ

Sale Nomination

Buy Nomination


Advisor Commentary

Sale Candidates

Buy Candidates


Back to Index Page

The Fund's complete portfolio must be updated each evening after market close, and should appear as follows:

		Emerging Intelligence		FUND			
<u>Securities Held</u>							
<u>Add</u>	<u>Vote</u> <u>Delete</u>	<u>Ticker</u>	<u>Type</u>	<u>Company</u>	<u>Shares</u>	<u>Cost Value</u>	<u>Percent</u>
<input type="checkbox"/>	<input type="checkbox"/>	AOL	A	America On-line	10,000	\$ 650,000	1.23%
<input type="checkbox"/>	<input type="checkbox"/>	VRIO	A	Verio, Inc.	15,000	<u>900,000</u>	<u>1.81%</u>
<u>Internet Service Providers</u>						\$1,550,000	3.04%
<input type="checkbox"/>	<input type="checkbox"/>	CSCO	B				
<input type="checkbox"/>	<input type="checkbox"/>	SNDK	B				
						<u>\$50,000,000</u>	
<u>Vote</u>							
Funds owed for purchases/redemptions					\$(123,000)		
Funds receivable from investor/sales					<u>1,536,000</u>		

Investors must be able to see a complete picture of fund's assets at all times. This screen will be used to add stocks to existing positions, or nominate stocks for sale, according to the following screens:

Below is a screen for nominating stocks either to buy or sell. Since the screens will look pretty much the same for a buy or a sale, only the buy-side examples are presented here:



Emerging
Intelligence


FUND

Nominee Companies

<u>Ticker</u>	<u>Name</u>
ABC	_____
WXYZ	_____
⋮	⋮

Nominate a stock

Clicking on "Nominate a stock" will take shareholders to the following screen:



Emerging
Intelligence

FUND

Stock Nomination


Company Name

Ticker Symbol

Company Website


☐ Submit!

Clicking the checkbox and then Submit! takes you to something like the following screen:

 Emerging Intelligence FUND

Your nomination has now been added to the list of company nominees! Thank you for participating. You may return to the Nominee section to vote, or continue to other areas of the site.

There should be a menu associated with all screens for navigational ease. Clicking on the Company Name in the Nominees screen will take shareholders to a summary information screen for that company, as shown below:

 Emerging Intelligence FUND

Company Name
Yahoo! link to XZY
Investor comments section
Research section
O High O Medium O Low

☐ Vote! (Make it so!)
☐ Remove Vote!

Clicking in the checkbox, then on Vote!, takes you to the following screen:

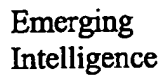


Emerging
Intelligence FUND

Your vote has been recorded, one vote for each full and fractional share you own. Thank you for participating!
Return to previous screen

At any point in the process, investors should be able to view the Candidate Stocks, those Nominees that have been moved from Nominee status to Candidate status by virtue of having received at least 1% of the shareholder votes ($> 1.0\%$ of all outstanding shares). Since the number of shares will change each day, increasing for the most part, there will need to be an automatic mechanism for moving shares from the Candidate category back to Nominee status, if the number of outstanding shares increases by enough so that the votes the Candidate fall below 1%.

Below is an illustration of the screen listing the Candidates. Clicking on the ticker symbol in either this screen or the Nominee or information screens should take the investor directly to the Yahoo! company information screen.



Candidates for Purchase

When a shareholder votes to buy, they will also click on a ratio button for how much they think the stack should represent as a percent of the fund. These votes will be displayed as indicated above, by percent of all shares outstanding. Average or Medium will be taken to mean 100% (Number of stocks + 1), expressed as a percent. Low will be halfway (approx.) between the Average % and 0%. High will be up to 5%. Stocks representing > 5% of fund may not be bought.

1. Investors may not vote their shares more than once for each stock.
2. Investors must vote all of their shares, or none. No fractional holding votes allowed.
3. Must be able to delete investors who redeem all shares.
4. Must recalculate percentages voted whenever there is a partial redemption.
5. Must update all percentages following each vote, in real time.
6. Must recalculate all percentages at end of each day, to take into account changes in number of shares.

7. Nominees must automatically move from Nominee list to Candidate list when votes exceed 1% of outstanding shares, and vice versa.
8. Must be away to remove Candidates from list when bought, preferably automatically.

Authority of Investment Advisor

Prospectus Guidelines

The value and primary earning assets of corporations must be a function of knowledge, information, or connectivity, or major, fundamental technological change.



IPS Millennium Fund

Millennium Fund is a Growth & Income fund with a multi-cap orientation, and uses a "Barbell" investment strategy. The volatility of the disruptive technology portion on one end of the barbell is controlled by using lower volatility, higher dividend companies (REITs, utilities, financials, etc.) at the other end of the barbell.

A Morningstar ★★★★★ fund

Based on 2,810 domestic equity funds as of 1-31-00

Enter one or more ticker symbols, or you may look up the symbol by company name.

Get Quotes

Basic

New York Times Article on IPS Millennium Fund! NEW!

U.S. News & World Report Article on IPS Millennium Fund! NEW!

YAHOO! Quotes

News on Stocks in your Fund!

Today's NAV



Send us your e-mail address
for notification of Fund
news & Web site updates

Portfolio Manager Diary (What we are buying or selling, and why)

Summary of Important Fund Info

Risk Disclosure: Legal Boilerplate Version

Risk Disclosure: Human Language Version

• Legal Stuff

1999 SemiAnnual Report

1998 Annual Report

Prospectus

Applications

State Registrations

Addresses & Phone Numbers

• Fun & Useful Stuff

Commentary : Inflation & Market
Performance

• Performance, Holdings & Strategy

Performance & Volatility

Sectors & Companies

Top Ten Stocks

Stock Strategies

Ethical Investment Policy

Fund Philosophy

• Cool Links to Other Great Websites

Tech Stock Information

IPS

Emerging Intelligence Fund

Site Document

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Definitions

The following key words are used throughout the document and are defined here.

Candidate	– a stock that is up for election by the Investors to either be bought or sold by the fund
Fund	–
Investor	– an individual that owns shares in the fund
Investment Advisor	– an IPS investor who takes part in the management of the fund
Nominee	– a stock that has been nominated by an Investor as a possible Candidate.
Shares	– fractional units of ownership of the fund
Stock	– fractional units of ownership of publicly traded companies

Life Cycle

Error! No topic specified. Stocks make their way in and out the fund by way of nomination from an individual Investor. Once a stock is a Nominee, Investors may vote their shares in favor of the nomination. If the number of shares voted is greater than one percent the Nominee is moved up into Candidate status. Once a stock is a Candidate, Investors may vote their shares in favor of the Candidate. If the number of shares voted is greater than one percent the Candidate is bought or sold depending on the direction of the flow of the Nominee and as much or as little as voted at the discretion of the fund rules and the Investment Advisor.

Business Rules

Voting

An Investor may not vote on a Nominee or a Candidate more than once

An Investor may vote on as many nominees or Candidate as they wish

An Investor vote is weighted by the number of shares they hold

An Investor has the option to undo their vote within a voting cycle

The Investors votes are reset after every voting cycle

A Nominee must automatically move from Nominee status to Candidate status when its' votes exceed one percent of the outstanding shares

A Candidate will be bought or sold by a fund advisor when the votes exceed one percent of the outstanding shares

If the fund has met its' set investment sector quota, other stocks within that investment sector cannot be nominated

Nomination

- 1) A stock will not be able to be nominated to buy if it already resides in the fund (or if it is already 5% in fund?)
- 2) A stock will not be able to be nominated to sell if it does not exist in the fund
- 3) An Investor may make a nomination without voting for that nomination

Administration

- 1) When a winning Candidate is bought or sold it will be updated through administration screens
- 2) A check will prevent the addition of stock to the fund that would make that a stock represent more than five percent of the fund
- 3) A check will enforce prospectus limits based on the percent an investment sector will be allowed to represent the fund
- 4) In the case where redemptions exceed available cash, the Investment Advisor will have the authority to sell shares less than or equal to the number of shares redeemed in a defined time period
- 5) At anytime the Investment Advisor and the Advisor's manager together may declare an investment emergency and sell anything at any amount within the fund

Site Map

Error! No topic specified. This map is to show the page flow as well as what data will be input our output from the pages.

Database Model

Error! No topic specified.